

Exhibit 300 (BY2008)

PART ONE	
OVERVIEW	
1. Date of Submission:	2006-12-22
2. Agency:	015
3. Bureau:	57
4. Investment Name:	CHIEF COUNSEL
5. UPI:	015-57-01-12-01-3053-00
6. What kind of investment will this be in FY2008?	
Mixed Life Cycle	
7. What was the first budget year this investment was submitted to OMB?	
FY2006	
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap.	
<p>The Chief Counsel Office System is a major application comprising program code and business logic to provide a repository and decision tools to support the chartering and continuing supervision and regulation of national banks based on legislative, regulatory and OCC standards. A major component of the Chief Counsel System is for a licensing system to replace the functionality currently provided by the Corporate Activities Information System, CAIS, which tracks and monitors the processing of licensing applications to ensure the applications are processed within the required time frames and to take advantage of new technologies. CAIS is one of the last major systems that currently run on the OCC's mainframe computer. Replacing CAIS is a critical component in the OCC's mainframe retirement strategy. This investment would provide the tracking, monitoring and reporting functionality of CAIS, as well as, replace the current Lotus Notes reporting, and make effective use of the electronically captured e-Corp applications and current technology to simplify licensing application processing. The new licensing function which is a component of this investment will also include the ability to enter, retrieve and process Part 24 after-the-fact notices or prior approval requests, which are administered by the Community Affairs (CA) Department. This investment will provide the processing, report and other requirements for the Part 24 process. Approximately, 200 Part 24 application are submitted the OCC annually. The Community Development Investments (CD) Database, primarily used by CA staff, tracks and monitors the processing of Part 24 investments and provides management reports on Part 24 activity. Data from the Community Development Investments Database is electronically appended to the Part 24 Aggregate Database, which provides historic, narrative and numeric information and is available to the OCC's nationwide supervision staff. This investment would provide the tracking monitoring and reporting functionality of the Community Development Investments Database, the Part 24 Aggregate Database, the National and CD Funds Database and the Bank Part 24/Other CD resources database and make effective use of the electronically captured e-Corp applications and current technology to simplify Part 24 processing.</p>	
9. Did the Agency's Executive/Investment Committee approve this request?	
yes	
9.a. If "yes," what was the date of this approval?	
2006-08-09	
10. Did the Project Manager review this Exhibit?	
yes	
11. Project Manager Name:	
Boykin, Valerie	
Project Manager Phone:	
202-874-6569	
Project Manager Email:	
Valerie.Boykin@occ.treas.gov	
12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.	
yes	

12.a. Will this investment include electronic assets (including computers)?	
yes	
12.b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)	
no	
13. Does this investment support one of the PMA initiatives?	
yes	
If yes, select the initiatives that apply:	
Expanded E-Government	
Human Capital	
13.a. Briefly describe how this asset directly supports the identified initiative(s)?	
Strategic Management of Human Capital: This investment will make the licensing processing of bank applications more efficient, thereby reduce the time it takes to make licensing and community affairs decisions based upon bank applications. Expanded Electronic Government: Components of this investment allow national banks to submit many of their applications and notices electronically, which reduces the expense and difficulty of doing business with the government.	
14. Does this investment support a program assessed using OMB's Program Assessment Rating Tool (PART)?	
no	
15. Is this investment for information technology (See section 53 for definition)?	
yes	
16. What is the level of the IT Project (per CIO Council's PM Guidance)?	
Level 1	
17. What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance)	
(1) Project manager has been validated as qualified for this investment	
18. Is this investment identified as high risk on the Q4 - FY 2006 agency high risk report (per OMB's high risk memo)?	
yes	
19. Is this a financial management system?	
no	
20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)	
Hardware	6
Software	0
Services	94
21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?	
n/a	
22. Contact information of individual responsible for privacy related questions.	
Name	
Andy Boots	
Phone Number	
2028745638	
Title	
Information Security Officer	
Email	
Andy.Boots@occ.treas.gov	
23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?	

yes

SUMMARY OF SPEND

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated Government FTE Cost, and should be excluded from the amounts shown for Planning, Full Acquisition, and Operation/Maintenance. The total estimated annual cost of the investment is the sum of costs for Planning, Full Acquisition, and Operation/Maintenance. For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

All amounts represent Budget Authority

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 & Earlier	PY	CY
	-2005	2006	2007
Planning Budgetary Resources	1.314	0.733	0.000
Acquisition Budgetary Resources	2.473	2.964	0.050
Maintenance Budgetary Resources	0.014	1.441	0.700
Government FTE Cost	0.464	0.380	0.362
# of FTEs	6	1	0

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies).

Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's?

no

3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes.

There are currently no changes to report.

PERFORMANCE

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

Table 1

	Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
1	2006	A safe and sound national banking system and a flexible legal and regulatory framework that	40% of all licensing applications filed in FY 2006 would be filed electronically	38% of all licensing applications filed in FY 2006 are filed electronically	Number of licensing applications filed electronically as a percentage.	The component activity is temporarily deferred for further review and corrective action. No measurements

		enables the national banking system to provide a full competitive array of financial services.				have conducted or been deemed necessary until future resumption.
2	2007	A safe and sound national banking system and a flexible legal and regulatory framework that enables the national banking system to provide a full competitive array of financial services.	Reduce average time for data entry for expedited applications by 50%; reduce average time for data entry for expedited non-e-Corp applications by 40%	Data entry for expedited e-Corp applications takes 2 hours on average; data entry expedited non-e-Corp applications takes 9 hours on average.	Number of hours needed on average to enter application data.	N/A
3	2007	A safe and sound national banking system and a flexible legal and regulatory framework that enables the national banking system to provide a full competitive array of financial services.	Maintain on-time performance of at least 95% for processing corporate applications.	On-time performance of at least 90% for processing corporate applications	The amount of time taken to process each application is measured and compared with the established OCC processing time. Those within the established timeframes are considered on time.	N/A
4	2007	A safe and sound national banking system and a flexible legal and regulatory framework that enables the national banking system to provide a full competitive array of financial services.	The time and effort required to manually maintain a completely separate ESR on Lotus Notes will be eliminated, with additional Washington staff time available for processing licensing applications.	Staff resources currently needed to maintain a Lotus Notes database to maintain the Executive Summary Report (ESR) that monitors and reports on all cases of interest to OCC Licensing Management.	Time and effort needed to prepare and maintain the ESR.	N/A
5	2007	Time and effort needed to prepare and maintain the ESR.	There will be a 15% decrease in the time it takes to develop and maintained the weekly past due report. The past due report will be generated from a component of the	Time needed to complete and prepare the Weekly Licensing Past Due Report.	Time it takes to develop and maintained the weekly past due report.	N/A

			project and become one of the standard reports to be produced.			
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All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the FEA Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov.

Table 2

	Fiscal Year	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
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EA

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture?

yes

2. Is this investment included in the agency's EA Transition Strategy?

no

2.b. If no, please explain why?

The portfolio of OCC investments has been completely reformulated to allow exact alignment of IT investments, technical solutions, and FISMA certification and reporting. This will not be reflected in the OMB Assessment until the reformulated investments are approved during this cycle.

3. Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.whitehouse.gov/omb/egov/>.

Component: Use existing SRM Components or identify as NEW. A NEW component is one not already identified as a service component in the FEA SRM.

Reused Name and UPI: A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

Internal or External Reuse?: Internal reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. External reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

Funding Percentage: Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

	Agency Component Name	Agency Component Description	Service Type	Component	Reused Component Name	Reused UPI	Internal or External Reuse?	Funding %
1	Licensing Information System (LIS)	Licensing Information System module manages end-to-end licensing workflow	Tracking and Workflow	Process Tracking			Internal	3

2	Licensing Information System (LIS)	Business Objects/DW for LIS ad hoc reports	Reporting	Ad Hoc			Internal	3
3	Licensing Information System (LIS)	Business Objects/DW for LIS standard reports	Reporting	Standardized / Canned			Internal	3

4. To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component: Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications.

Service Specification: In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

	SRM Component	Service Area	Service Category	Service Standard	Service Specification (i.e., vendor and product name)
1	Process Tracking	Service Access and Delivery	Access Channels	Web Browser	Microsoft Internet Explorer
2	Process Tracking	Service Access and Delivery	Delivery Channels	Extranet	Custom BankNet extranet hosted by OCC's Data Center
3	Process Tracking	Service Access and Delivery	Delivery Channels	Intranet	OCC-managed Intranet with AT&T telco vendor
4	Process Tracking	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	Microsoft Active Directory
5	Process Tracking	Service Access and Delivery	Service Transport	Service Transport	HTTP, IP, TCP
6	Process Tracking	Service Access and Delivery	Service Transport	Supporting Network Services	DHCP, LDAP, DNS
7	Process Tracking	Service Platform and Infrastructure	Database / Storage	Database	Microsoft SQL Server
8	Process Tracking	Service Platform and Infrastructure	Delivery Servers	Web Servers	Microsoft IIS (static HTML page), Jakarta Tomcat (JSP pages)
9	Process Tracking	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Ethernet
10	Process Tracking	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	HP Proliant servers (DL 380 & 580), primarily Dell desktop & notebook computers
11	Process Tracking	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Frame Relay, T1, VPN
12	Process Tracking	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	Microsoft Visual Studio .NET
13	Process Tracking	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	PVCS
14	Process Tracking	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows 2000, Windows .NET
15	Process Tracking	Component Framework	Business Logic	Platform Dependent	Microsoft .NET
16	Process	Component	Data	Database	ODBC

	Tracking	Framework	Management	Connectivity	
17	Process Tracking	Component Framework	Data Management	Reporting and Analysis	Business Objects
18	Process Tracking	Component Framework	Presentation / Interface	Content Rendering	CSS, DHTML
19	Process Tracking	Component Framework	Presentation / Interface	Dynamic Server-Side Display	JSP, ASP .NET
20	Process Tracking	Component Framework	Presentation / Interface	Static Display	HTML
21	Process Tracking	Component Framework	Security	Certificates / Digital Signatures	SSL
22	Process Tracking	Service Interface and Integration	Integration	Enterprise Application Integration	HandySoft BizFlow, HandySoft DM/RM adapter

5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?

no

5.a. If yes, please describe.

6. Does this investment provide the public with access to a government automated information system?

no

PART TWO

RISK

You should perform a risk assessment during the early planning and initial concept phase of the investment's life-cycle, develop a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

Answer the following questions to describe how you are managing investment risks.

1. Does the investment have a Risk Management Plan?

yes

1.a. If yes, what is the date of the plan?

2006-05-22

1.b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?

no

3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule: (O&M investments do NOT need to answer.)

The cost of all milestones is risks adjusted to reflect consideration of potential negative consequences. All identified alternatives as well as the impact and probability of occurrence are weighed using are staff's expertise and many years of experience. The various possible outcomes are then measured against the chosen alternative to give us a better idea of the level of risk involved and the severity of any negative consequences.

COST & SCHEDULE

Does the earned value management system meet the criteria in ANSI/EIA Standard 748?

yes

2.a. What is the Planned Value (PV)?

5.034

2.b. What is the Earned Value (EV)?

5.034

2.c. What is the actual cost of work performed (AC)?
5.098
What costs are included in the reported Cost/Schedule Performance information?
Contractor and Government
2.e. As of date:
2006-06-30
3. What is the calculated Schedule Performance Index (SPI= EV/PV)?
1
4. What is the schedule variance (SV = EV-PV)?
0.000
5. What is the calculated Cost Performance Index (CPI = EV/AC)?
0.99
6. What is the cost variance (CV = EV-AC)?
-0.065
7. Is the CV or SV greater than 10%?
no
7.d. What is most current Estimate at Completion?
9.219
8. Have any significant changes been made to the baseline during the past fiscal year?
no